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April 16, 2002

TO: Distribution

FROM: B/Headquarters ISO 9001 Executive Management Representative

SUBJECT: Headquarters (HQ) Quality Management System (QMS) audit activities

This memo provides all HQ offices with:

1. Results of the HQ QMS internal audit to ISO 9001:2000;
2. Actions HQ offices need to take as a result of the internal audit,
3. Announcement of the next Quality Council meeting, and
4. Announcement of and all actions needed prior to the recertification audit.

An internal audit of the Headquarters Quality Management System to ISO 9001:2000 was conducted on April 1-5, 2002. Mr. Dave Lambertson and Mr. Bill Hartman of Qualitec Consulting conducted the internal audit. All Headquarters offices involved in the audit exhibited a positive attitude regarding the audit process, while demonstrating a good understanding of their roles and responsibilities with an eagerness to be properly prepared for the recertification audit scheduled in May. The audit resulted in 2 nonconformances and 4 observations. The NCRs revolved around:

1. A systemic finding that many new HQ employees have not been trained in the mission, roles and responsibilities of HQ and/or their offices, and
2. A functional office not having a functional leadership plan (FLP) as required by the NASA Strategic Management Handbook, nor was there any evidence that the required FLP was under development.

The ISO 9001 Program Office will lead the review of the systemic finding, determining the root cause and developing corrective actions. Coordination and collaboration with each HQ office through their Corrective and Preventive Action System (CPAS) representative will ensure that an effective process is developed and implemented. Then all HQ offices will be required to implement the proposed corrective action following Quality Council direction.

The other nonconformance is assigned to the Security Management and Safeguards Office who will develop a FLP for their office according to the guidelines provided in the NASA Strategic Management Handbook. No action is required for other HQ offices beyond

ensuring that your FLP or Strategic Enterprise Plan is current and the requisite goals and objectives are identified. This exercise was previously assigned in my March 13, 2002 memo to you.

A review of our QMS will be conducted at the semi-annual HQ Quality Council meeting on **April 24, 2002**. I will brief the council members regarding their role in ensuring process performance and continual improvement measures are addressed. This briefing is specifically designed to better prepare you for the NQA recertification audit in May 2002. As in the previous Quality Council meeting, we will also review customer feedback and performance metrics regarding HQ products. This information along with the nonconformances from the February 2002 preliminary assessment and this past internal audit will be reviewed to determine if any preventive actions are necessary.

Lastly, the recertification audit is scheduled for **May 13-15, 2002**. The purpose of the audit is to register the HQ QMS to the ISO 9001:2000 standard. It will also continue the HQ ISO registration into a new three-year period and transfer our registration to National Quality Assurance (NQA), USA as the HQ auditor. Mr. Kevin Beard, the NQA lead auditor for HQ, and his partner will conduct the audit the first two days with the audit closing meeting the morning of May 15. The audit will focus on the three questions included in my previous memo. For your convenience, I am restating them here:

1. What are your organization's responsibilities? What does your organization do?
2. How do you measure whether you are accomplishing these responsibilities?
3. How do you continually improve your processes and products?

Many of the processes audited during the April internal audit will be audited during the recertification audit, including the HQ response to the two nonconformances from the February preliminary assessment. Mr. Bob Kovach will coordinate the recertification audit schedule development with your code's CPAS representative.

I have enclosed a copy of the internal audit findings and a milestone chart of the upcoming events and actions required prior to the recertification audit. I appreciate your continued support of our QMS. Please direct any questions regarding the corrective actions and Quality Council to Ms. Marcietta Washington at 358-4427 or [mswilley@hq.nasa.gov](mailto:mswilley@hq.nasa.gov) and the recertification audit to Mr. Kovach at 358-0710 or [rkovach@hq.nasa.gov](mailto:rkovach@hq.nasa.gov).

Michael B. Mann

Enclosures

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